



CLIENT PROFILE FORM

Taylor Collison are required to make enquiries as to the level of service you require as well as your personal circumstances to enable your Adviser to give the appropriate level of advice. These rules mean that before giving personal advice Taylor Collison must examine details such as your current financial situation, your personal and financial objectives, as well as your attitude to risk. If this information is not provided we can only provide you with an execution only service.

Taylor Collison provides advice on a range of financial products outlined in its Financial Services Guide ('FSG'). If you have not already received an FSG, please contact your adviser or Taylor Collison Compliance (at brokeradmin@taylorcollison.com.au or + 08 8217 3900).

As Taylor Collison only facilitates trading in Market Securities, any personal advice is considered scaled personal advice. Taylor Collison does not consider your taxation, government entitlements, superannuation or other personal finance issues when providing advice.

We appreciate you assisting us in completing this Client Profile Form entirely and accurately. The information sought in this document will be regarded by us as strictly confidential.

Account Name(s) _____ Adviser Name _____
Account Designation _____

Execution Only Declaration

I wish to be an Execution Only client. By selecting this Execution Only declaration, you acknowledge that we will not express an opinion or recommendation about whether a financial product is appropriate for you, this means orders will be placed without taking into account your personal and financial circumstances. It will therefore be your responsibility to determine if an investment is suitable for you. No need to complete any other section of this form; please sign and return to Taylor Collison.

CLIENT PROFILING INFORMATION

Personal Details		
Personal details	Account Holder 1	Account Holder 2
Client Name		
Address Field 1		
Address Field 2		
Phone		
Work Phone		
Mobile		

Fax		
Email address		
Date of Birth		
Country of Birth		
Country of Residency		
Marital Status	<input type="radio"/> Single <input type="radio"/> Married <input type="radio"/> Divorced <input type="radio"/> Widowed <input type="radio"/> DeFacto <input type="radio"/> Separated	<input type="radio"/> Single <input type="radio"/> Married <input type="radio"/> Divorced <input type="radio"/> Widowed <input type="radio"/> DeFacto <input type="radio"/> Separated
Occupation		
Employer		
Health	<input type="radio"/> Poor <input type="radio"/> Fair <input type="radio"/> Good <input type="radio"/> Excellent <input type="radio"/> Not Disclosed	<input type="radio"/> Poor <input type="radio"/> Fair <input type="radio"/> Good <input type="radio"/> Excellent <input type="radio"/> Not Disclosed
Work status	<input type="radio"/> Full time <input type="radio"/> Part time <input type="radio"/> Not currently employed <input type="radio"/> Retired	<input type="radio"/> Full time <input type="radio"/> Part time <input type="radio"/> Not currently employed <input type="radio"/> Retired
Current Gross Income	<input type="radio"/> \$1-\$6,000 <input type="radio"/> \$6,001-\$35,000 <input type="radio"/> \$35,001-\$80,000 <input type="radio"/> \$80,001-\$180,000 <input type="radio"/> \$180,000+	<input type="radio"/> \$1-\$6,000 <input type="radio"/> \$6,001-\$35,000 <input type="radio"/> \$35,001-\$80,000 <input type="radio"/> \$80,001-\$180,000 <input type="radio"/> \$180,000+
Primary source of income	<input type="radio"/> Business Earnings <input type="radio"/> Salary <input type="radio"/> Investments <input type="radio"/> Retirement Assets <input type="radio"/> Pension	<input type="radio"/> Business Earnings <input type="radio"/> Salary <input type="radio"/> Investments <input type="radio"/> Retirement Assets <input type="radio"/> Pension
Current reliance on investment income	<input type="radio"/> Entirely <input type="radio"/> Substantially <input type="radio"/> Partially <input type="radio"/> Not at all	<input type="radio"/> Entirely <input type="radio"/> Substantially <input type="radio"/> Partially <input type="radio"/> Not at all

Financial Objectives

The information you provide below will assist your Adviser in understanding your financial goals, and what process you are willing to undertake to reach those goals. Please note, if you do not complete your Assets and Liabilities, your account will be marked as having a limited profile and you will need to consider the appropriateness of our advice with regards to your broader personal and financial circumstances.

Assets and Liabilities

Assets

Principal Residence	\$
Other private assets, e.g. Artwork	\$
Shares (listed and unlisted)	\$
International Shares	\$
Cash at bank	\$
Fixed Interest	\$
Managed Funds	\$
Superannuation	\$
Property (excluding principal residence)	\$

Other	\$
Total Assets	\$
Liabilities	
Home Mortgage	\$
Margin Lending Loans	\$
Other Borrowings	\$
Other Liabilities	\$
Total Liabilities	\$
Net Assets	\$
% of portfolio that is geared	%

Client Investment Experience	
Fixed Interest	<input type="radio"/> Extensive <input type="radio"/> Moderate <input type="radio"/> Limited <input type="radio"/> None
Property Funds	<input type="radio"/> Extensive <input type="radio"/> Moderate <input type="radio"/> Limited <input type="radio"/> None
Managed Funds	<input type="radio"/> Extensive <input type="radio"/> Moderate <input type="radio"/> Limited <input type="radio"/> None
Australian Equities	<input type="radio"/> Extensive <input type="radio"/> Moderate <input type="radio"/> Limited <input type="radio"/> None
International equities	<input type="radio"/> Extensive <input type="radio"/> Moderate <input type="radio"/> Limited <input type="radio"/> None
Margin lending	<input type="radio"/> Extensive <input type="radio"/> Moderate <input type="radio"/> Limited <input type="radio"/> None
Warrants/options	<input type="radio"/> Extensive <input type="radio"/> Moderate <input type="radio"/> Limited <input type="radio"/> None

Client Investment Objectives
Describe your investment objectives and reasons for seeking advice in your own words.
Please rank your top 2 objectives/goals in order by entering 1 or 2 against the chosen objective. Items are listed in risk ascending order.
<input type="checkbox"/> Conservative : your objective is to preserve your capital over the long term. Depending on your particular requirements, this may mean you require a high level of liquidity in your equity investments. You generally favour high-quality, lower-risk equities. Suitability: you are focused on preserving capital and you are willing to sacrifice growth in order to achieve this. You are not concerned about the impact of inflation and taxation on the value of your investments. Risks: your level of performance will be low relative to other investments and as a result, inflation and taxation will likely diminish the value of your portfolio in real terms over time.
<input type="checkbox"/> Income: your objective is to invest in Financial Products that are likely to produce higher levels of current income in the form of dividends and interest, possibly to meet your living expenses. Therefore, you favour dividend paying shares. Suitability: you are seeking a return which is superior to a basic deposit product and are willing to accept a greater level of risk in order to achieve this. Risks: as with any portfolio containing growth assets, you will be exposed to some capital risk and short term volatility. Depending on the securities recommended, there is a below average level of risk of volatility and loss of capital when compared with other investment objectives.
<input type="checkbox"/> Balance of income and growth: your objective is to achieve returns from a mix of listed asset classes with regard to both income and growth. Investments that fall under this objective typically provide the potential for both capital appreciation and income.

Suitability: you are looking for a well-rounded portfolio and are willing to sacrifice some growth in order to obtain the various advantages of receiving income and vice versa.

Risks: as with any portfolio containing growth assets, you will be exposed to some capital risk and short term volatility.

Growth: your objective is to invest in financial products with the potential for higher capital appreciation as instead of focusing on those that produce higher levels of current income. Investments seeking growth may provide little (if any) income, and typically experience higher fluctuations in price over the short term.

Suitability: your preference is to by accepting a greater level of capital risk and volatility. Achieve superior performance in the medium to long term.

Risks: there is risk of loss of capital and volatility of returns.

High growth: your objective is to invest in Financial Products with the potential for very high levels of capital appreciation which likely produce no income. Investments that fall under this objective will almost certainly fluctuate in value.

Suitability: your preference is to by accepting significant risk to your capital to obtain the potential for greater growth.

Risks: there are significant risks of loss of capital and volatility, over the short to medium term.

Speculative: your objective is to obtain high long-term gains and you are prepared to transact in financial products which are high risk and speculative in order to achieve this. You are willing to forego balance and diversification in your portfolio in order to achieve this. Companies that are the subject of speculative investments generally do not have an established track record of earnings/dividends, are not profitable and/or have unproven business models.

Suitability: you have capital which is surplus to your living or investment requirements and are looking to achieve a high level of outperformance using this surplus capital.

Risks: you acknowledge that you face a very high level of risk to your capital, and volatility of returns. These risks will increase where your level of diversification is lower and your investment time horizon is shorter. Speculative investments are suited to experienced investors with surplus capital to their requirements.

Trading: your objective is to trade on movements in the price of financial products with a view to obtaining capital appreciation over the short term. Transactions that fall under this objective are unlikely to provide any income in the form of dividends and interest.

Suitability: you are prepared to take a short term view as to a particular security or market event in order to achieve outperformance.

Risks: in order to achieve outperformance, you will typically look for volatile securities which will expose you to high risk of loss of capital. You are taking a view as to price movements in the short term which may arise from financial products being mispriced by the market. This view may be proven wrong if your assumptions are not borne out or if there are subsequent unexpected events or unexpected market movements.

Investment Time Frame	
<input type="radio"/> Less than 18 months	
<input type="radio"/> 18 months to 3 years	
<input type="radio"/> 3 to 5 years	
<input type="radio"/> 5 - 7 years	
<input type="radio"/> more than 7 years	
If less than 18 months, do you need to be able to readily cash in the portfolio?	<input type="radio"/> Yes <input type="radio"/> No

Client Investment Advice Interests	
Which investments interest you?	
<input type="radio"/>	Australian Shares
<input type="radio"/>	International Shares
<input type="radio"/>	Listed Managed Funds (excluding property)
<input type="radio"/>	Listed Property Trusts
<input type="radio"/>	Derivatives
<input type="radio"/>	Hybrids
<input type="radio"/>	Cash Management Account
<input type="radio"/>	IPOs
<input type="radio"/>	Margin Lending
<input type="radio"/>	Separately Managed Accounts
If there are investments you do not wish to invest in, list them here:	

Ultimate use for your portfolio?	
<input type="radio"/>	Fund retirement
<input type="radio"/>	Long term preservation of assets
<input type="radio"/>	Compare an estate for the benefit of my dependents
<input type="radio"/>	Educate my dependents or fund another special need for them
<input type="radio"/>	Fund the acquisition of a house or other large capital asset
<input type="radio"/>	Invest in a business
<input type="radio"/>	Be an emergency source of funds
<input type="radio"/>	Supplement of funds
<input type="radio"/>	Some other purpose
<input type="radio"/>	Separately Managed Accounts

Self-Managed Super Fund (SMSF)	
Are the investments being advised on held within your SMSF?	<input type="radio"/> Yes <input type="radio"/> No
If yes: Name of SMSF	
Have you provided a copy of your SMSF Investment Strategy to your adviser?	<input type="radio"/> Yes <input type="radio"/> No

Margin Lending	
Value of Loan	\$
Value of Leveraged Portfolio	\$
Interest Rate	%
Product Provider	
Are you interested in receiving advice on your Margin Loan?	
Is income required to be provided from the portfolio to assist in servicing your Margin Loan?	<input type="radio"/> Yes <input type="radio"/> No
Are there any specific circumstances that your adviser should consider when providing advice for you?	
Provide details below:	

RISK PROFILE

Investors generally expect higher returns as the perceived risk (i.e. volatility of the capital value) of their investments increases. This is the basis of the trade-off between risk and return. When we provide you with personal advice we will focus on producing investment portfolios which strive to meet your return objectives, but are also consistent with your own attitude to risk.

This section of the Profile Form will help us to understand what type of investor you are and will enable us to recommend a personal asset allocation tailored to your needs.

I wish to nominate the following:

Conservative

You are a conservative investor. Your risk tolerance is low and you are prepared to accept lower returns to protect capital. The negative effects of tax and inflation will not concern you, provided your initial capital is protected.

Moderate

You are a moderate investor seeking better than basic returns, but risk must be low. Typically, you are an older investor seeking to protect the wealth which you have accumulated, and you prefer to consider less aggressive investments.

Balanced

You are a balanced investor who wants a balanced portfolio to work towards medium to long term financial goals. You require an investment strategy, which will cope the effects of tax and inflation. Calculated risks will be acceptable to you to achieve good returns.

Growth

You are a growth investor, probably earning sufficient income to invest most funds for capital growth or with sufficient financial assets to meet your needs. You are prepared to accept higher volatility and moderate risks, your primary objective is to accumulate assets over the medium to long term. You require a balanced portfolio, but more aggressive investments may be included.

High Growth and Speculative

High level of growth on the capital invested. Income is incidental. High level of volatility, accepts higher risk of negative returns in search of high returns.

I/We verify that the information entered above is an accurate record of our financial, personal and family circumstances, except where I/we have opted to not disclose the information. I/We understand that failure to provide all relevant details to our Adviser may result in inaccurate or incomplete advice, as such the appropriateness of advice will need to be considered carefully to our broader personal circumstances.

Applicant 1/Director 1/Trustee 1

Name _____ Signature _____

Applicant 2/Director 2/Trustee 2

Name _____ Signature _____

Applicant 3/Director 3/Trustee 3

Name _____ Signature _____

Date _____